



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s):
Hyoung June KIM

Serial No.: 09/886,940

Filed: June 21, 2001

For: "METHODS AND APPARATUSES FOR
HEAT TREATMENT OF SEMICONDUCTOR
FILMS UPON THERMALLY SUSCEPTIBLE
NON-CONDUCTING SUBSTRATES"

Re: VERIFIED STATEMENT
CLAIMING SMALL ENTITY STATUS

Group Art Unit: 2812

Examiner: unknown

Our Ref.: B-4227 618899-5

Date: October 8, 2001

Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231

Attn: Customer Service Center
Initial Patent Examination Division

Sir:

Enclosed for filing in the subject application is the executed Verified Statement Claiming Small Entity Status (Independent Inventor(s)) signed by the inventor, Hyoung June KIM.

Respectfully submitted,

Mavis S. Gallenson
Attorney for the Applicant
Registration No.: 32,464

c/o LADAS & PARRY
5670 Wilshire Boulevard, Suite 2100
Los Angeles, California 90036-5679

Telephone No.: (323) 934-2300
Facsimile No.: (323) 934-0202

Enclosure: Verified Statement Claiming Small Entity Status (1 page)

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Sir:

COMPLETION OF FILING REQUIREMENTS

Responsive to office letter dated 08/21/2001 (copy attached).

DECLARATION OR OATH

[X] Please find enclosed the original Declaration/Power signed by the inventor.

AMENDMENT OF CLAIMS

[] Please cancel claims _____ inclusive

[] Please find enclosed an amendment deleting multiple dependencies

NOTE: The filing fees, fees for and surcharge fees listed below are reduced by 50% where proof of a small entity status is established on or before the date the fee is paid. If the full fee is paid but a verified statement is filed within two months of the date of payment of the first fee then the excess fee paid will be refunded on request. Notice of January 20, 1983. 1027 TMOG 114.

FEES

[X] Filing fee (37 CFR 1.16(a) - 710.00) \$355.00
(small entity - 355.00)

[] Fees for claims

[] Independent claims in excess of 3
(37 CFR 1.16(b) - 80.00)
(small entity - 40.00)

[] Claims in excess of 20
(37 CFR 1.16(c) - 18.00) _____
(small entity - 9.00)

CERTIFICATE OF MAILING (37 CFR 1.8a)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the:

Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231

Attn: Customer Service Center
Initial Patent Examination Division

Karyn Lao

(Typed or printed name of person mailing paper)

Date: October 8, 2001

(Signature of person mailing paper)

☐ Multiple dependent claim(s)
(37 CFR 1.16(d) - 270.00) _____
(small entity - 135.00) _____

☒ Surcharge fees

☒ Late payment of filing fee
(37 CFR 1.16(e) - 130.00) _____
(small entity - 65.00) _____

AND

☒ Late filing of declaration or oath
(37 CFR 1.16(e) - 130.00) \$65.00
(small entity - 65.00) _____

☐ Petition fee for filing by person not
the inventor (37 CFR 1.17(h) \$120.00) _____

☐ Recording assignment
(37 CFR 1.21(h)(i) 40.00) _____

☐ Attached is an assignment to _____

Total fees: \$420.00

SMALL ENTITY STATUS

☒ Verified statement that this filing is by a small entity is

☒ Attached ☐ Already filed on _____
W/cover sheet

PAYMENT OF FEES

☒ Enclosed is a check in the amount of \$420.00.

☐ Charge Account No. 12-0415 in the amount of _____.
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

AUTHORIZATION TO CHARGE ADDITIONAL FEES


☒ The Commissioner is hereby authorized to charge the following additional fees which may be required or credit any overpayment to Account No. 12-0415.

☒ 37 CFR 1.16 (filing fees and presentation of extra claims)

☒ 37 CFR 1.17 (application processing fees)

☐ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b)).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application... prior to paying... issue fee."


Mavis S. Gallenson
Attorney for the Applicant
Registration No.: 32,464

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/886,940	06/21/2001	Hyoun June Kim	B-4227 618899-5

CONFIRMATION NO. 4874

FORMALITIES LETTER



OC00000006454083

LADAS & PARRY
Suite 2100
5670 Wilshire Boulevard
Los Angeles, CA 90036-5679

Date Mailed: 08/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/18/2001 BNGUYEN1 00000063 120415 09886940

01 FC:201		370.00 OP
02 FC:205	15.00 CH	50.00 OP